

<b>Contact Person</b>	Amy Tehan	<b>Revision</b>	2
<b>Document</b>	Procedure 48202.004	<b>Effective Date</b>	04/01/2014
		<b>Review Date</b>	04/01/2014

## LABORATORY NOTEBOOK AND RESEARCH DOCUMENTATION PROCEDURE

The Laboratory Notebook and Research Documentation Procedure sets forth guidelines for proper documentation, maintenance, capture, and storage of Ames Laboratory research. This will ensure that work performed at the Laboratory can be studied and replicated by future generations. It will also protect the intellectual property rights of the Lab and its researchers.

### 1.0 APPROVAL RECORD

- Reviewed by: Document Control Coordinator (Amy Tehan)
- Approved by: Manager, Human Resources (Diane Muncrief)
- Approved by: Chief Operations Officer (Mark Murphy)
- Approved by: Intellectual Property Coordinator (Stacy Joiner)

The official approval record for this document is maintained in the Training & Records Management Office, 151 TASf.

### 2.0 REVISION/REVIEW INFORMATION

The revision description for this document is available from and maintained by the author.

### 3.0 PURPOSE AND SCOPE

The purpose and scope of this procedure is to implement the requirements of DOE O 243.1, "Records Management Program" as it applies to any research documentation produced at the Ames Laboratory.

### 4.0 ROLES AND RESPONSIBILITIES

#### 4.1. Records Management (RM) Staff:

Records Management staff will make available to researchers and other staff this procedure and the Laboratory's Guidelines for Preparing and Maintaining a Research Notebook (Guide 48202.001), and provide training for researchers regarding laboratory notebooks and research documentation.

RM staff will also supply barcodes for storeroom personnel to affix to each notebook, and will scan notebooks when they are turned in to the Records Management Office. Notebooks will also be stored and tracked by RM staff and loaned to researchers as requested.

#### 4.2. Researchers and Scientific Staff

Researchers are responsible for preparing and maintaining lab notebooks according to the Laboratory's guidelines, and for turning in notebooks to the Records Management Office. Research staff will also complete lab notebook training as requested.

Proper precautions should be taken to safeguard laboratory notebooks and other research documentation. Paper notebooks should be kept in a controlled access room or cabinet. Electronic research documentation should be maintained on the Laboratory's shared file server, which is equipped with permission controls and remotely backed up periodically.

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#### **4.3. Sponsored Research Administrator (SRA) and Intellectual Property (IP) Coordinator**

The SRA and IP Coordinator will work with researchers and scientific staff to ensure adequate documentation of potential intellectual property. The SRA office will advise RM staff regarding potential changes in the IP environment that may affect this procedure, prompting revisions as necessary.

#### **4.4. Storeroom Personnel**

Storeroom personnel will affix barcode stickers and copies of Guide 48202.001 to all lab notebooks purchased by researchers, and will record the name and employee number of each researcher who purchases a notebook, along with the notebook's barcode.

#### **4.5. Radiation Safety Personnel**

Radiation safety personnel are responsible for surveying lab notebooks that may have been exposed to radioactive materials. These personnel will also label notebooks with a survey status label and document survey findings.

#### **4.6. Laboratory Notebook Borrowers**

Staff who borrow laboratory notebooks are responsible for maintaining them and returning the notebooks to the Records Management office when they are no longer needed.

### **5.0 PREREQUISITE ACTIONS AND REQUIREMENTS**

RM staff will provide unique barcodes to Storeroom personnel to be affixed to lab notebooks. Storeroom personnel will purchase lab notebooks from the approved vendor, and affix barcodes and copies of the Guidelines for Preparing and Maintaining a Research Notebook (Guide 48202.001) to all notebooks. The guide and this procedure are available on the Ames Laboratory website at <https://www.ameslab.gov/operations/esha/procedures/laboratory-notebook-research-documentation-procedure>. Storeroom personnel will also record each notebook's barcode and the name and employee number of the purchaser. Records Management staff will obtain the data recorded by storeroom personnel regarding the locations and owners of lab notebooks on a regular basis, and will enter this information into a tracking system. RM staff will provide training to researchers on a regular basis regarding this procedure, the guide, and other basic components of research documentation best practices.

### **6.0 PROGRAM/POLICY/PROCEDURE INFORMATION**

#### **6.1. Maintaining and Tracking Lab Notebooks**

Researchers will maintain notebooks according to Guide 48202.001. When notebooks are full, research projects are completed, or researchers leave the Laboratory (whichever comes first), notebooks will be turned in to the Records Management Office.

### **7.0 POST PERFORMANCE ACTIVITY**

Once notebooks are turned in, Radiation Safety personnel will survey notebooks that may be contaminated with radiation. Records Management staff will scan each notebook and upload

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the file to the Laboratory's electronic content management system. Scans will be checked for quality and notebooks will then be indexed and stored in the Records Holding Area or returned to another researcher as requested. Records Management staff will also track the location of all lab notebooks and check out notebooks requested by staff for the Laboratory's business purposes.

## 8.0 References

Guide 48202.001 Guidelines for Preparing and Maintaining a Research Notebook